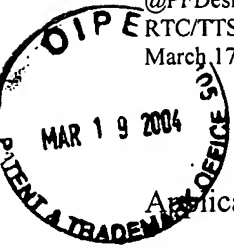


March 17, 2004



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

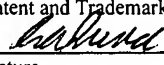
Applicant: Anacleto M. de Figueredo, Diran Apelian, Matt M. Findon, and Nicholas Saddock

Application No.: 10/668,668 Group Art Unit: 1742

Filed: September 23, 2003 Examiner: Not Assigned

Confirmation No.: 1053

Title: ALLOY SUBSTANTIALLY FREE OF DENDRITES AND METHOD OF FORMING THE SAME

CERTIFICATE OF MAILING OR TRANSMISSION	
I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as First Class Mail in an envelope addressed to Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, or is being facsimile transmitted to the United States Patent and Trademark Office on:	
March 17, 2004	
Date	Signature
Christine A. Budd	
Typed or printed name of person signing certificate	

INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

This Information Disclosure Statement is submitted:

☐ under 37 CFR 1.129(a), or

(First/Second submission after Final Rejection)

☒ under 37 CFR 1.97(b), or

(Within any one of the following time periods: three months of filing national application (other than a CPA) or date of entry of the national stage in an international application; or before the mailing date of a first office action on the merits in a non-provisional application, including a CPA, or a Request for Continued Examination).

☐ under 37 CFR 1.97(c) together with either:

☐ a Statement under 37 CFR 1.97(e), as checked below, or

☐ a \$180.00 fee under 37 CFR 1.17(p), or

(After the 37 CFR 1.97(b) time period, but before final action or notice of allowance, whichever occurs first)

☐ under 37 CFR 1.97(d) together with:

☐ a Statement under 37 CFR 1.97(e), as checked below, and

☐ a \$180.00 fee under 37 CFR 1.17(p), or

(Filed after final action or notice of allowance, whichever occurs first, but on or before payment of the issue fee)

☐ under 37 CFR 1.97(i):

Applicant requests that the IDS and cited reference(s) be placed in the application filewrapper.

(Filed after payment of issue fee)

Statement Under 37 CFR 1.97(e)

- ☐ Each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement; or
- ☐ No item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the undersigned, after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of this Information Disclosure Statement.

Statement Under 37 CFR 1.704(d) (Patent Term Adjustment)

Applies to original applications (other than design) filed on or after May 29, 2000

- ☐ Each item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart application and this communication was not received by any individual designated in § 1.56(c) more than thirty days prior to the filing of the Information Disclosure Statement.
- ☒ Enclosed herewith is form PTO-1449:
- ☒ Copies of the cited references are enclosed.
- ☒ Since this application was filed after June 30, 2003, copies of issued U.S. patents and published U.S. applications are not required and are not being provided.
- ☐ Copies of the cited references are enclosed except those entered in prior application, U.S. Application No. [ ], to which priority under 35 U.S.C. 120 is claimed. [The earlier application contains copies of the cited references.]
- ☐ The listed references were cited in the enclosed International Search Report in a counterpart foreign application.
- ☐ The "concise explanation" requirement (non-English references) for reference(s) [ ] under 37 CFR 1.98(a)(3) is satisfied by:
- ☐ the explanation provided on the attached sheet.
- ☐ the explanation provided in the Specification.
- ☐ submission of the enclosed International Search Report.
- ☐ submission of the enclosed English-language version of a foreign Search Report and/or foreign Office Action.
- ☐ the enclosed English language abstract.

☐ Applicant requests that the following non-published pending applications be considered:

Examiner's  
Initials

\_\_\_\_ U.S. Patent Application No. [ ], by [inventor(s)], filed [ ], Docket No.: [ ]  
\_\_\_\_ U.S. Patent Application No. [ ], by [inventor(s)], filed [ ], Docket No.: [ ]  
\_\_\_\_ U.S. Patent Application No. [ ], by [inventor(s)], filed [ ], Docket No.: [ ]

\_\_\_\_\_  
Examiner

\_\_\_\_\_  
Date

☐ A copy of each above-cited application, including the current claims, is enclosed.

☐ A copy of each above-cited application, including the current claims, is enclosed, except those entered in prior application, U.S. Application No. [ ], to which priority under 35 U.S.C. 120 is claimed.

The Examiner is requested to return a copy of the above list of pending applications indicating which references were considered with the next office communication.

It is requested that the information disclosed herein be made of record in this application.

Method of payment:

☐ A check for the fee noted above is enclosed, or the fee has been included in the check with the accompanying Reply. A copy of this Statement is enclosed.

☐ Please charge Deposit Account 08-0380 in the amount of \$[ ]. A copy of this Statement is enclosed.

☒ Please charge any deficiency in fees and credit any overpayment to Deposit Account 08-0380.

Respectfully submitted,

HAMILTON, BROOK, SMITH & REYNOLDS, P.C.

By 

Troy T. Svihl  
Registration No.: 55,845  
Telephone: (978) 341-0036  
Facsimile: (978) 341-0136

Dated: *March 17, 2004*  
Concord, MA 01742-9133

PTO-1449 REPRODUCED  <b>INFORMATION DISCLOSURE CITATION IN AN APPLICATION</b>  <b>March 17, 2004</b>  (Use several sheets if necessary)	ATTORNEY DOCKET NO. 1021.2003-001		APPLICATION NO. 10/668,668	
	FIRST NAMED INVENTOR Anacleto M. de Figueredo		FILING DATE September 23, 2003	
	EXAMINER Not Assigned		CONFIRMATION NO. 1053	GROUP 1742

U.S. PATENT DOCUMENTS				
EXAM- INER INI- TIAL	REF. NO.	DOCUMENT NUMBER Number-Kind Code (if known)	ISSUE DATE / PUBLICATION DATE MM-DD-YYYY	NAME OF PATENTEE OR APPLICANT OF CITED DOCUMENT
	AA	5,701,942	12-30-1997	Adachi <i>et al.</i>
	AB	US 6,311,759 B1	11-06-2001	Tausig <i>et al.</i>
	AC	US 6,432,160 B1	08-13-2002	Norville <i>et al.</i>
	AD	US 2002/0096231 A1	07-25-2002	Flemings <i>et al.</i>
	AE	US 2002/0134471 A1	09-26-2002	Motegi <i>et al.</i>
	AF	US 2002/0153643 A1	10-24-2002	Norville <i>et al.</i>
	AC	US 2003/0062144 A1	04-03-2003	Aoyama <i>et al.</i>
	AH	US 2003/0079854 A1	05-01-2003	Flemings <i>et al.</i>
	AI	US 2003/0102103 A1	06-05-2003	Lombard <i>et al.</i>
	AJ			
	AK			
	AA2			
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	AH2			
	AI2			
	AJ2			
	AK2			
	AA3			
	AB3			
	AC3			

EXAMINER	DATE CONSIDERED
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PTO-1449 REPRODUCED

**INFORMATION DISCLOSURE CITATION  
IN AN APPLICATION**
**March 17, 2004**

(Use several sheets if necessary)

**ATTORNEY DOCKET NO.  
1021.2003-001**
**APPLICATION NO.  
10/668,668**
**FIRST NAMED INVENTOR  
Anacleto M. de Figueredo**
**FILING DATE  
September 23, 2003**
**EXAMINER  
Not Assigned**
**CONFIRMATION NO.  
1053**
**GROUP  
1742**
**FOREIGN PATENT DOCUMENTS**

	DOCUMENT NUMBER Country Code-Number-Kind Code (if known)	DATE MM-DD-YYYY	NAME OF PATENTEE OR APPLICANT OF CITED DOCUMENT	TRANSLATION YES NO	
AL	EP 0 745 694 A1	12-04-1996	Ube Industries, Ltd.		
AM					
AN					
AO					
AP					
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AL2					
AM2					
AN2					
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AP4					
AQ4					

EXAMINER

DATE CONSIDERED

PTO-1449 REPRODUCED

ATTORNEY DOCKET NO.  
1021.2003-001APPLICATION NO.  
10/668,668INFORMATION DISCLOSURE CITATION  
IN AN APPLICATION

March 17, 2004

FIRST NAMED INVENTOR  
Anacleto M. de FigueredoFILING DATE  
September 23, 2003EXAMINER  
Not AssignedCONFIRMATION NO.  
1053GROUP  
1742

(Use several sheets if necessary)

## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

AR	Alem, N., "Novel Methods of Aluminum Grain Refinement". A thesis, Worcester Polytechnic Institute, February 2002
AS	Anacleto de Figueredo, <i>et al.</i> , "Processing Routes", <i>Science and Technology of Semi-Solid Metal Processing</i> , Chapter 2, pp 2-1:2-17, (IL:North American Die Casting Association, Copyright 2001)
AT	Findon, M., <i>et al.</i> , "The Continuous Rheoconversion Process for Production of High-Quality Semisolid Slurries", presented at 7 <sup>th</sup> International Conference on Semi-Solid Processing of Alloys and Composites, Metal Processing Institute, WPI, Massachusetts (September 26, 2002).
AU	Findon, M., <i>et al.</i> , "Melt Mixing Approaches for the Formation of Thixotropic Semisolid Metal Structures", presented at S2P Conference, Japan (September 24, 2002).
AV	Ji, S., <i>et al.</i> , "Solidification Behavior of Sn-15 Wt Pct Pb Alloy under a High Shear Rate and High Intensity of Turbulence during Semisolid Processing", <i>Metallurgical and Materials Transactions</i> , Volume 33A, 3511:3520, November 2002.
AW	Martinez, R., <i>et al.</i> , "Efficient Formation of Structures Suitable for Semi-Solid Forming", presentation of the North American Die Casting Association at <i>Trasactions</i> , 21 <sup>st</sup> International Die Casting Congress & Exposition, October 29-November 1, 2001.
AX	Wabusseg, H., "Process and Alloy Development For High Quality Aluminium Components for Lightweight Construction - The New Rheocasting Process", a dissertation submitted to the Swiss Federal Institute of Technology, January 2002.
AY	Matthew M. Findon, Semi-Solid Slurry Formation Via Liquid Metal Mixing (thesis dated July, 2003, and scheduled to be published July, 2004).
AZ	Matthew M. Findon, Semi-Solid Slurry Formation Via Liquid Metal Mixing (thesis defense notification posted July 7, 2003, and available on the world-wide web at <a href="http://www.me.wpi.edu/MTE/News/thesis2.html">http://www.me.wpi.edu/MTE/News/thesis2.html</a> as of February 18, 2004).

EXAMINER

DATE CONSIDERED